RESEMBLE
S Y S T E M S
BUSINESS VALUE FOCUSED

Global Solutions Provider

S SharePoint

Regulatory Compliance System (RCS)

UAE | KSA | INDIA

Executive Summary

In today's business environment, stakeholder expectations for transparency and accountability continue to rise, while regulatory and reporting requirements are becoming more stringent around the world.

To remain both compliant and competitive, companies need to identify relevant and applicable environmental, health and safety requirements that will affect their products and operations.

To support these activities they need to implement systems that will help them manage audit plans, measure compliance, share best practices and report on performance to the relevant regulatory bodies.

Capital Market Authority

❖ Regulate and monitor the activities of entities involved in Security Trade.

❖ Protect Investors, Maintain fairness, efficiency, and transparency in transactions of securities.

❖ Promotion and development of the capital market

❖ License non-bank financial intermediaries

❖ Authorise the offering of securities to the public

RCS Overview

1. Manage compliance with regulatory requirements

2. Identify required procedure and responsibilities.

3. Helps generates reports quickly

4. Consist of CMA Regulations

5. Automated Alerts & Notifications

6. Automated Task Assignment

7. Avoid Fines from CMA due to unforeseen violations

RCS Delivery Model

On-Premise

Microsoft® SharePoint®

Cloud

Microsoft® Office 365

SharePoint Online

RCS Benefits

✓ Construction of a Compliance Strategy based on requirements

✓ Compliance task management

✓ Monitoring of non-conformities and deviations

✓ Implementation of corrective action plans

✓ Access/Import regulatory content from CMA

✓ Track Capital Market regulatory requirements

✓ Meet corporate, facility and product compliance obligations

RCS Features

✓ Rules and Regulation assignment to Departments

✓ Dashboard to track assignments

✓ Automated notification based on frequency set

✓ Excel based reporting for easy tracking

✓ Excel/CSV import for Regulations

✓ Widgets to display latest announcements from CMA/Tadawul

✓ Task delegation

✓ Available in both On-premise and Office 365 versions

Case Study

الراجحي المالية
Al Rajhi Capital

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Customer : Al Rajhi Capital, Saudi Arabia

❖ Challenges

➢ Compliance team was managing the business processes
   manually that consumes time, delay in taking and actions,
   less audit trails for compliance

❖ Solution

➢ Regulatory Compliance System (RCS)

❖ Platform

➢ Onpremise SharePoint

❖ Benefits

➢ Automated all manual business process

➢ Workflow approvers can take actions quickly

➢ Saved Cost and Time

Client Testimonial

"We are very delighted to have worked with such a professional vendor. Resemble have went to incredible extents to deliver our needs."

Mohamed Al-Suhaibani,
Al Rajhi Capital
Saudi Arabia

THANK YOU

We appreciate your interest and active participation and our endeavor is to engage & enhance customer experience, automate processes and maximise ROI

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